



04.28.05

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PATENTS
HSX-1 CONT. 5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy M. Keiser et al.
Application No.: 10/655,409 Confirmation No.: 6575
Filing Date : September 4, 2003
For : COMPUTER-IMPLEMENTED SECURITIES TRADING
SYSTEM WITH A VIRTUAL SPECIALIST
FUNCTION
Group Art Unit : 3628
Examiner : Clement B. Graham

Hon. Commissioner for Patents
P.O. Box 1450 New York, New York 10020
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATION

Express Mail Label No. EV 619636271 US

Date of Deposit: April 27, 2005

I hereby certify that this certification and the
following papers and fees:

1. Transmittal Letter (in duplicate);
2. Reply to Office Action; and
3. Return postcard

are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service under
37 C.F.R. § 1.10 on the date indicated above and are
addressed to Mail Stop Amendment, Hon. Commissioner for
Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Andrew Shine
Name: Andrew Shine

Modified PTO 1083
For Other Than A Small Entity

Docket No. HSX-1 CONT. 5

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 Alexandria, Virginia 22313-1450

TRANSMITTAL LETTER

Sir:

Transmitted herewith: [] a Preliminary Amendment;
 a Reply to Office Action; [] a Supplemental Amendment;
 [] a substitute Specification; [] a Supplemental Information Disclosure Statement to be filed in the above-identified patent application.

FEE FOR ADDITIONAL CLAIMS AND/OR PAGES

A fee for additional claims or pages is not required.

[] A fee for additional claims is required.

The additional fee has been calculated as shown below:

CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL
TOTAL CLAIMS	- *	= 0	x \$50	= \$.00
INDEPENDENT CLAIMS	- **	= 0	x \$200	= \$.00
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM			+ \$360	= \$.00

* If less than 20, insert 20.
 ** If less than 3, insert 3.

TOTAL \$.00

- [] As a result of the amendment submitted herewith, this application now includes excess pages beyond those previously paid for. The number of additional groups of 50 excess pages resulting from this amendment is _____ x \$250 = \$ _____.
- [] A check in the amount of \$ _____ in payment of the fee for additional claims and/or pages is transmitted herewith.
- [] The Director is hereby authorized to charge payment of any additional fees required under 37 C.F.R. § 1.16 in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- [] Please charge \$ _____ to Deposit Account No. 06-1075 in payment of the fee for additional claims. A duplicate copy of this transmittal letter is transmitted herewith.

EXTENSION FEE

- [] The following extension fee is applicable to the Response filed herewith:
[] \$120.00 extension fee for response within first month pursuant to 37 C.F.R. § 1.136(a); [] \$450.00 extension fee for response within second month pursuant to 37 C.F.R. § 1.136(a); [] \$1,020.00 extension fee for response within third month pursuant to 37 C.F.R. § 1.136(a); [] \$1,590.00 extension fee for response within fourth month pursuant to 37 C.F.R. § 1.136(a); [] \$2,160.00 extension fee for response within fifth month pursuant to 37 C.F.R. § 1.136(a).
- [] A check in the amount of [] \$120.00 [] \$450.00 [] \$1,020.00 [] \$1,590.00 [] \$2,160.00 in payment of the extension fee is transmitted herewith.
- [X] The Director is hereby authorized to charge payment of any additional extension fees required under 37 C.F.R. § 1.17 in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- [] Please charge the [] \$120.00 [] \$450.00 [] \$1,020.00 [] \$1,590.00 [] \$2,160.00 extension fee to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

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Application No. : 10/655,409 Confirmation No. : 6575

Filed : September 4, 2003

For : COMPUTER-IMPLEMENTED SECURITIES TRADING
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION

Group Art Unit : 3628

Examiner : Clement B. Graham

Hon. Commissioner for Patents

P.O. Box 1450

New York, New York 10020

Alexandria, VA 22313-1450

April 26, 2005

REPLY TO OFFICE ACTION

Sir:

In reply to the Office Action mailed January 27, 2005,
please consider the following remarks:

Express Mail No.
EV 619636271 US